

Pathfinder Village, Inc.

Corporate Compliance Plan

(Updated 11/18/21)

Organization Overview

Pathfinder Village, Inc., is a private 501(c)(3) not for profit residential community specializing in the care of children and adults who have Intellectual and Developmental Disabilities. Quality education, vocational training, work opportunities, recreational activities, and residential living are provided by caring, professional staff that assist our individuals receiving services in leading independent, productive, and satisfying lives.

Mission Statement

Pathfinder Village will promote a healthy, progressive environment that respects the individual, supporting a life of value and independence.

Operating Guidelines

- Pathfinder Village staff will set goals consistent with the needs of the individuals receiving services, cooperate with others to achieve them and follow through to attainment.
- Every staff member of Pathfinder Village is expected to participate fully in mission-driven initiatives designed to improve the quality of services and programs.
- Pathfinder Village staff will become knowledgeable about the contributions made to the life of each resident by the various departments and services of Pathfinder Village.
- Pathfinder Village staff will listen to and act respectfully towards and the diversity of each other in a manner that communicates respect for the contributions made by all on behalf of our individuals receiving services.
- Parents and guardians are encouraged to provide feedback that will be used constructively to maintain and improve services.
- The staff of Pathfinder Village will be provided continual development and training opportunities and are expected to use this knowledge to improve the life of the individuals receiving services.
- Pathfinder Village will maintain an environment where staff can be valued and recognized for their efforts to develop and improve the care and services provided to the individuals receiving services.
- Pathfinder Village staff members will be held accountable to predetermined guidelines and are entitled to periodic feedback about their performance.
- The board of Directors and staff will work to develop, secure and preserve the financial resources necessary to assure the success of Pathfinder Village.

Corporate Compliance Overview

Pathfinder Village, Inc. has established a Corporate Compliance Plan tailored to the Pathfinder Village's principle lines of business. We are dedicated to managing and operating its programs in keeping with the highest of business, ethical and moral principles. Each employee, agent, member of the Board of Directors, consultant, and volunteer contributes to achieving these principals by conducting business activities for the Pathfinder Village with integrity and high ethical standards. Supervisors and managers also contribute to achieving these principals by exercising good leadership and being a good example in creating and promoting a workplace environment in which compliance and ethical business conduct are expected.

Pathfinder Village, Inc. has adopted the following definition of Corporate Compliance:

“A Corporate Compliance plan is a system which is designed to detect and prevent violations of law, as well as the likelihood of unethical activity by Pathfinder Village employees, volunteers, contractors, officers and directors.”

Pathfinder Village, Inc. will transact its business in compliance with the laws of the jurisdiction in which it does

Pathfinder Village, Inc. will conduct its business in compliance with the laws of the jurisdiction in which it does business, including local, state and federal jurisdictions. As a not for profit agency, Pathfinder Village, Inc. will conduct business with all IRS regulations governing tax-exempt organizations and refrain from any private inurement and benefit issues. Instances where questions arise concerning interpretation or applications of laws and regulations should be referred to the President & CEO or Corporate Compliance Officer. Applicable law includes, but is not limited to, anti-kickback statutes, labor laws, tax code and regulations, antitrust laws, copyright laws, consumer rights laws and environmental laws.

As used in the Corporate Compliance Plan, the following definitions apply:

Pathfinder Village, Inc. representatives: employees, agents, board members, committee members, contractors, and others working for or on behalf of Pathfinder Village, Inc.

Conflict of Interest & Ethics

- **Overview:** The Conflict of Interest & Ethics Statement provides Pathfinder Village, Inc. employees, agents, members of the Board of Directors, consultants, and volunteers with information necessary to adhere to the high ethical principles the Pathfinder Village lives by. Pathfinder Village, Inc. is accountable for compliance not only with the Conflict of Interest & Ethics, but also with all laws and regulations applicable to our activities, and other policies and procedures prepared by Pathfinder Village and oversight bodies. *(Reference: PV Personnel Policy: Conflict of Interest & Ethics Statement)*
- **Honesty and Integrity:** Honesty and Integrity are what this Conflict of Interest & Ethics is all about; they define our relationships with individuals receiving services, outside agencies, business partners, and each other. By maintaining the highest level of corporate integrity through open, honest, and fair dealings, we earn trust for our services and ourselves from everyone with whom we come in contact. *(Reference: PV Personnel Policy #1015 Conflict of Interest & Ethics Statement)*
- **Standards of Conduct:** Pathfinder Village, Inc. representatives are expected to comply with the following standards:

Business Principles

- a. Maintain the Confidentiality of Pathfinder Village Information - Pathfinder Village is responsible and accountable for the integrity and protection of its business information. All Pathfinder Village records and documents (in any form or media) are the sole property of Pathfinder Village and thereby considered confidential by its nature, except as provided by law or regulation. No Pathfinder Village representative shall disclose to other any confidential information obtained during the course of employment, work (paid or unpaid), or receipt of reports, which have not been published or disclosed, to the public. Documents and electronic media containing sensitive information on individuals receiving services, staff, consultants, volunteers, board members and other representatives of Pathfinder Village must be carefully handled and properly secured. If any Pathfinder Village representative observes or becomes aware of a breach of this policy including misuse of confidential information, or unauthorized or unrecognized individual using a computer terminal in an area familiar to you, immediately contact a supervisor. *(Reference: PV Personnel Policy: Confidentiality of Information)*
- b. Avoid Unauthorized Use of Pathfinder Village Assets: It is the obligation of all Pathfinder Village representatives to protect the assets of the Pathfinder Village. Pathfinder Village property, such as office supplies, office equipment, and property, may not be used for personal reasons. Any misuse or misappropriations of Pathfinder Village funds, information, equipment, facilities or other assets may be considered criminal behavior and can bring severe employment and legal consequences. *(Reference: PV Personnel Policy #6200 Property & Facilities and #1015 Conflict of Interest & Ethics Statement)*
- c. Maintain the Corporate Image: Pathfinder's reputation and identity are among its most valuable assets. All Pathfinder Village, Inc. representatives are expected to conduct themselves in a manner that reflects positively on the Pathfinder Village's image and identity, both internal and external. No

one should act in a way that adversely affects the reputation or image of the Pathfinder Village with employees, volunteers, individuals receiving services or with the community at large.

Each Pathfinder Village, Inc. representative should endeavor to deal fairly with its individuals receiving services, consultants, suppliers, competitors and other employees. No one should take advantage of anyone else through manipulation, concealment, abuse of privileged information, misrepresentation of material facts, or other unfair practice. (*Reference: PV Personnel Policy: Conflict of Interest & Ethics Statement*)

- d. Have Job Accountability: Each employee is responsible for knowing and executing the responsibilities of his or her job. This means the individual is held accountable for the quality of the work he or she produces. In addition, management is responsible for ensuring that they have provided their employees with the necessary information to do their jobs.
- e. Avoid Conflicts of Interests: Each employee has a primary business responsibility to Pathfinder Village and is expected to avoid any activity that may interfere or have the appearance of interfering with their performance. A conflict of interest exists if an employee's outside business or other interest may affect adversely, or have the potential to affect adversely, his or her motivation, objectivity, loyalty or performance. In addition, a potential conflict of interest occurs when an individual's personal or private interests might lead an independent observer to reasonable question whether the individual's professional actions or decisions are influenced by significant personal interest, financial or otherwise.

Pathfinder Village Representatives shall not participate in the selection award or administration of any contract supported by Federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, and member of his or her immediate family, his or her partner, or when Pathfinder Village employs or is about to employ and of the parties indicated herein, has a financial or other interest in the firm selected for an award.

Pathfinder Village Representatives classified as "Key Employees" and Board of Directors have been determined to be persons that have control or influence over contractual and purchasing transactions and/or participate in the making of decisions which may have significant effects on the economic interest of Pathfinder Village; and therefore, must read the Pathfinder Village "Conflict of Interest and Ethics" Statement upon the beginning of relationship with Pathfinder Village and annually thereafter. "Conflict of Interest and Ethics" Statements are located in the Finance Office.

Some additional situations in which employees might encounter conflicts of interest are:

- Having a relationship with a resident outside of the workplace and/or employment by a resident or family member of a resident;
- The employment of family members or close personal friends as contractors, suppliers or employees of the Pathfinder Village;
- Romantic relationships between a supervisor and a subordinate;
- Using Pathfinder Village assets, including Pathfinder Village time, name, information, equipment or facilities, for personal use;
- Misuse of information obtained by an employee during the course of his or her employment.
- Soliciting personal cash gifts of any amount or value from any person or business that has a relationship with Pathfinder Village, Inc.
- Accepting personal cash gifts of an amount from any person or business that has a relationship with Pathfinder Village, Inc.
- Accepting personal non-cash gifts valued at more than \$25.00 from any person or business which has a financial relationship with Pathfinder Village or accepting any non-cash gift from a person or business that expects that they may receive preferred service or business from the Pathfinder Village representative.

If any matter exists that might be a conflict of interest or creates the appearance of a conflict of interest, employees should consult their supervisor or Human Resources Representative to assess whether a problem exists. Additional information concerning conflicts of interest can be located in

whether a problem exists. Additional information concerning conflicts of interest can be located in the Administrative Policy and Procedures and Personnel Policy and Procedures Manual.
(Reference: PV Personnel Policy: Conflict of Interest & Ethics Statement)

- f. Adhere to the Pathfinder Village Media Communication Policy: It is the Pathfinder Village's policy to provide open, accurate, and consistent communication with the public. To maintain the consistency and accuracy of the information, Pathfinder Village spokespersons are designated to respond to all inquiries. Only these designated spokespersons are authorized and responsible for releasing information at the appropriate time and for guarding against the inadvertent disclosure of confidential information. All inquiries regarding the Confidentiality of Information Policy 6060 should be directed to the Sr. Director of Ancillary and Quality Support Services or the President & CEO.
(Reference: PV Personnel Policy: Confidentiality of Information)

Quality of Care

- a. Refrain from Abuse: Pathfinder Village representatives shall not engage in any activities that constitute abuse of persons receiving services as defined in the regulations of the Commissioner of OPWDD. Failure to exercise one's duty to intercede or to report any activity which may be considered abuse will constitute abuse. (Reference: Incident and Abuse Reporting)
- b. Follow a Resident's Life Plan or Individual Service Plan: Pathfinder Village employees are expected to comply with a resident's life plan or individual service plan and communicate any changes in the plan to the necessary parties in accordance with regulatory requirements and program policies and procedures.

It is not acceptable for individuals receiving services to carry out the duties of employees unless such tasks are described in their plan of services by their program planning team and for the purpose of increasing their skills. (Reference: Lifeplan)

- c. Maintain Appropriate Interactions with Individuals receiving services: Pathfinder Village representatives must maintain professional relationships with the individuals receiving services they serve. There shall be no personal financial transactions between employees or Pathfinder Village representatives and individuals receiving services. Financial transactions, which may be construed as exploitation or result in greater benefit to the employee or Pathfinder Village representative than the person receiving services will be considered abuse. However, Pathfinder Village representatives may purchase goods or services from the resident at fair market value. Additionally, supervisors must be notified of the terms of such a purchase.

The receipt of any gift by any Pathfinder Village representative from any resident must be disclosed to the supervisor to determine whether the gift may or may not be accepted to avoid a conflict of interest. Pathfinder Village representatives may not accept cash gifts from individuals receiving services under any circumstances. However, cash donations to the Pathfinder Village may be accepted, but must be promptly forwarded to the Finance Office.

All Pathfinder Village representatives are expected to maintain a professional demeanor with individuals receiving services. It is also expected that employees shall model appropriate and acceptable behavior while in the presence of individuals receiving services. (Reference: Individuals receiving services Rights, Incident Reporting, Lifestyle Enhancement, Behavior Support)

- d. Confidentiality: It shall be the policy of Pathfinder Village, Inc. to ensure that Pathfinder Village employees, Board Members, consultants, volunteers, researchers not affiliated with Pathfinder Village, persons served, and others maintain and monitor confidentiality of service participants information and records. All Pathfinder Village staff members, as well as Board members, volunteers, and others, shall comply with the Health Insurance Portability and Accountability Act (HIPPA) standards and any other applicable confidentiality laws and regulations. Pathfinder Village, Inc. shall also comply with supervisory reviews and maintenance requirements of records and organization/storage locations for record components of current and past service participants. Records maintained or found on computers or electronically shall follow established

participants receive training on rules on computers or electronically shall follow established procedures to protect the confidentiality and the privacy of service participants and families. Such information will become part of the medical record.

Employees shall have access only to records of persons as deemed relevant to their job duties. Any unauthorized request for confidential information must submit to appropriate Pathfinder Village staff a written authorization for the release of information signed by the person or the legal representative.

This written release must be time limited (no longer than six months) and the individual(s) or agency(s) to whom the information can be released must be identified by name.

Access to records of persons served shall be available, upon request, to individuals/agencies who have statutory or regulatory authorization. Information may not be released to individuals or organizations conducting research connected with the administration of Pathfinder Village programs or persons served unless the affected person served (or the conservator or legally authorized person) gives consent, and/or the person's name will not be publicly identifiable and other identifying information is disguised or deleted.

Pathfinder Village shall, upon request, make information in relevant records available to the person served, the conservator or others as legally designated, as long as that information does not include: (1) material that violates another person's right to privacy; (2) information that is medically contraindicated by the person's physician; (3) material that must be withheld from release according to other laws or by order of a court of law; (4) information that, in the judgment of Pathfinder Village, would be damaging to the person, except as provided for under federal or state guidelines or when ordered by a court to disclose the information.

Pathfinder Village is required by state law to report suspicions of abuse, neglect or mistreatment, which may necessitate divulging some information that would be kept confidential under normal circumstances.

In the case of a medical emergency, information may be required without following the above procedures to obtain consent. However, only appropriate and necessary medical and family information shall be released in medical emergencies to emergency medical staff.

Confidentiality and normal sensibility shall be exercised when speaking about any person served.

Undignified displays, exhibitions, or exposure of persons, whether deliberate or unintentional, shall not occur. No person served by Pathfinder Village may be required to make public statements that acknowledge gratitude to Pathfinder Village for services provided by Pathfinder Village. No person served by Pathfinder Village Inc. will be compelled to perform in a public gathering. Visits to or tours of Pathfinder Village homes and other program locations shall be planned and conducted with respect to the sensibilities of all persons served and for their right to privacy. Employees who assist persons with personal hygiene shall do so with respect to the personal preference of the person and with sensitivity to the dignity of the person.

Persons served may be photographed, videotaped, or have their images or voices otherwise recorded only with the written consent of the person and/or the conservators or other authorized individuals.

Employees, Board members, volunteers, and researchers shall review Pathfinder Village Confidentiality and Consent policies and sign a confidentiality pledge as part of the orientation process and annually thereafter.

Medical Practices

- a. Follow Regulations Regarding Control of Medications: It is Pathfinder Village policy that all DSP's shall be diligent to discharging their obligations regarding prescription drugs and controlled substances in accordance with applicable laws, regulations and Pathfinder Village policies and procedures.

Pathfinder Village is legally responsible for the proper distribution, handling of and prevention of unauthorized access to pharmaceutical products. The diversion of any prescription drug or controlled substance, including a drug sample, in any amount for any reason to an unauthorized individual or entity is forbidden.

Pathfinder Village representatives may not use drugs stored in Pathfinder Village programs intended for the use of individuals receiving services. (*Reference: Medication Administration*)

Legal Obligations & Compliance

Legal Obligations & Compliance

- a. To Maintain a Safe and Healthful Workplace: Pathfinder Village has a commitment to maintain a safe and healthful workplace for employees. As part of this commitment, Pathfinder Village maintains reasonable safety rules, practices and procedures to all employees. At the same time, Pathfinder Village expects employees to be efficient and productive in performing their job assignments.

Pathfinder Village provides a safe and healthy work environment by adhering to the laws, regulations and commonly accepted safe practices in accordance with federal and state laws regarding occupational and environmental safety.

Law and policies regarding hazardous materials, pollutants and medical waste must be strictly followed by all Pathfinder Village, Inc. representatives. (*Reference: PV Personnel Policies: Safety and Handling Hazardous Materials*)

- b. Refrain from Misrepresentation: Honesty based on clear communication is the cornerstone of ethical disclosure of information. Pathfinder Village, Inc. representatives shall be honest and make no representation or dishonest statements in conducting Pathfinder Village business affairs. Pathfinder Village representatives must report and record all information accurately and honestly including all marketing materials, resident records, requests for payment, time sheets, financial reports and other similar documents, which relate to business activities. Marketing materials will accurately reflect certification, licensure and services available.

In addition, Pathfinder Village representatives must not make false statements with respect to the conditions or operations of any program nor make false statements with respect to information regarding ownership and control of a facility or program. (*Reference: PV Personnel Policy Conflict of Interest and Ethics Statement*)

- c. Refrain from Engaging in Unfair Trade Practices: All Pathfinder Village representatives are expected to comply with all laws pertaining to the restraint of trade and fair competition. Such laws generally forbid any kind of understanding or agreement (written or verbal) between competitors to fix and control fees or payments for services or products, or to engage in any other conduct that results in restraints of competition.

Unfair methods of competition and deceptive acts or practices are also prohibited. Examples of these include false or deceptive statements or comparisons about the agencies services or falsely disparaging competitor's services without data to substantiate it. (*Reference: PV Finance Policies*)

- d. Adhere to Tax-Exempt Requirements: Pathfinder Village is a tax-exempt entity under the rules and laws of New York State and the Federal Internal Revenue Service. In order to comply with applicable law, Pathfinder Village must operate for the benefit of the community and avoid "private inurement" or private benefit" as defined by these laws. Criminal penalties may be exercised if a violation of these tax laws is found and substantiated. In this regard, Pathfinder Village representatives shall be familiar with these restrictions:

- Pathfinder Village sales tax exemption is used only for legitimate Pathfinder Village business and service transactions.
- All appropriate withholding taxes must be applied to staff wages.
- Tax-exempt bonds are used to secure mortgages for Pathfinder Village properties where applicable. All restrictions on the use of property governed by the bonding authority shall be followed. Services and programs associated with bonds will be properly discharged. Violation of the condition related to bonds may affect future borrowing by Pathfinder Village and/or the bonding authority.

- e. Comply with Fundraising Standards: Pathfinder Village adheres to acceptable fundraising standards. Only fundraising activities, which benefit Pathfinder Village and the programs or

services are allowed, and must be specifically authorized by the President & CEO or designee.

Fundraising events must be consistent with the mission, vision, goals, mandates and values of the Pathfinder Village.

Any Pathfinder Village representative that obtains funds as a result of fundraising activities on behalf of Pathfinder Village must promptly deposit the funds with the Financial Office for appropriate record keeping and cash controls. A receipt for funds deposited must be obtained from the appropriate Financial Office personnel.

Fundraising reports are issued regularly and comply with applicable laws and regulations associated with Pathfinder Village licenses and not-for-profit law.

- f. Submit Accurate Billings and Financial Reports: Billing activities are to be performed in a manner consistent with Medicaid and other payer's regulations and requirements. The Pathfinder Village will comply with all pertinent regulations in billing practices, including, but not limited to, specific program requirements, need for service, procedure codes, bad debt reporting, credit balances, and duplicate billing.

All billing and claims generated must accurately reflect that services rendered are supported by relevant documentation and are submitted in compliance with applicable laws, rules, regulations, and program requirements. Employees should never knowingly make or present improper, false, fictitious or fraudulent claims to any government or private health care program, employee, department or agency. Improper activity can include, but is not limited to:

- Misrepresentation of Services
- Duplicate Billing
- Multiple Coverage and Secondary-Payroll Fraud
- False Claims Statements
- Falsifying Dates on a Claim

- g. Refrain From Accepting Kickbacks: The term "kickback" is defined as the giving of remuneration of any kind, which is interpreted under the law as "anything of value". In the United States it is illegal to provide, offer or accept a kickback or bribe. A kickback or bribe may be defined as any money, fee, commission, credit, gift, gratuity, thing of value, or compensation of any kind that is provided directly or indirectly, and that has as one of its purposes, the improper obtaining or rewarding or favorable treatment in a business transaction.

No employee or other Pathfinder Village representative shall solicit, receive, offer to pay, or pay remuneration of any kind in return for referring an individual for items or services, or purchasing, leasing, ordering or arranging for good, facilities, services or items for which payment may be made under federal, state, or local health care programs

All Pathfinder Village representatives should avoid the offering or receipt of a gift in circumstances where it could appear that the purpose of the gift is to influence Pathfinder Village's relationship with a vendor, regulator or other person or entity. The receipt of any gift by any Pathfinder Village representative from a resident's representative, vendor, contractor, etc. must be disclosed to the supervisor to determine whether the gift may or may not be accepted to avoid a conflict of interest. (*Reference: PV Personnel Policy Gratuities or Gifts*)

- h. Follow Research Grant Standards: Research grant proposals involving people that the Pathfinder Village serves are subject to the provisions or applicable state and federal laws and regulations. Researchers must be vigilant in considering whether grants involve improper inducements for referrals. Research, which encourages or results in improper referral practices, could constitute "kickback" in violation of federal and state law.

- i. Be Familiar with Regulations Governing Areas of Responsibility: Pathfinder Village is licensed by a number of regulatory and accreditation organizations. Pathfinder Village representatives are responsible for the compliance with these licenses

responsible for the compliance with these licenses.

In addition Pathfinder Village representatives shall:

- Be familiar with program regulations governing areas of responsibility, receive and understand new regulations and/or expectations and to inform the supervisor or appropriate Pathfinder Village administrator of any possible issues of noncompliance.
- Insure that a Certificate of Need, or similar documentation, is properly submitted to the respective licensing organization, as required, to establish and/or change service provisions.
- Insure that questions of training and compliance with the submission of a Certificate of Need or the application of regulations should be referred to the respective supervisor and/or administrator.

Human Resources Principles & Community Involvement

- a. Comply with Labor & Employment Laws: Pathfinder Village fully complies with all applicable labor laws and statutes regarding employee-employee relationships and workplace environment.

The Pathfinder Village employs only persons who are legally authorized to work in the United States consistent with federal laws. Individuals who are perspective candidates and who are U.S. citizens or who possess a “green card” or work visa are entitled to be hired. The appropriate documentation of citizenship status must be presented to the Human Resources Department at the time of hire.

- b. Comply with Payroll Deductions: Pathfinder Village fully complies with the salary basis requirements of the Fair Labor Standards Act (FLSA). Therefore, Pathfinder Village prohibits all company Management Staff as well as the Finance Office from making improper deductions from the salaries of employees.

If an employee believes that an improper deduction has been made to their salary, that employee should immediately report this information to their direct supervisor, or to the Finance Office.

Reports of improper deductions will be promptly investigated. If it is determined that an improper deduction has occurred, the employee will be promptly reimbursed for any improper deductions.

- c. Embrace Diversity: Pathfinder Village respects and welcomes diversity in its employees, individuals receiving services, contractors, and other representatives.

There shall be no discrimination activity against any person for any reason, including race, religion, national origin, creed, age, gender, ethnic background, sexual orientation or disability except where a bona fide occupation qualification is involved.

Pathfinder Village is committed to equal employment opportunity.

- d. Display Ethical Personal Conduct: Every employee has the right to confidentiality of certain employment records as well as the privacy of personal activities outside of business hours. In turn, Pathfinder Village has rights of access to all Pathfinder Village property and communication, records and information created in the business setting. By using Pathfinder Village property and/or creating such records and information, the employee consents to such access.

Pathfinder Village will not release information regarding our current employees without written consent unless it is required by a program survey or subpoena. An internal investigation may at times require the review and/or release of certain personal information to Pathfinder Village personnel, law enforcement, and/or oversight bodies.

Pathfinder Village emphasizes the need for balance between work, personal and family life, and encourages employees to pursue interests and activities outside the workplace. Personal interests and beliefs, however, must not be imposed on other employees or individuals receiving services. Pathfinder Village recognizes the employee’s rights to become involved in political activities of their choice. However, activities should not interfere with the employee’s ability to perform their

their choice. However, activities should not interfere with the employee's ability to perform their job and should not imply participation on the part of Pathfinder Village. (Reference: PV Personnel Policies #6090 Employee Privacy and #6150 Moonlighting)

e. Refrain from Substance Abuse and Unsafe Workplace Behavior: In order to provide a safe and healthful workplace for Pathfinder Village representatives and individuals receiving services, and to promote an efficient and productive workforce Pathfinder Village representatives are prohibited from:

- Manufacturing, selling, purchasing, transferring, using or possessing illegal drugs, narcotics, or other unlawful substances or materials on Pathfinder Village premises, or while conducting business for Pathfinder Village.
- Manufacturing, selling, purchasing, transferring, using or possessing on Pathfinder Village's premises, substance or materials not authorized by Pathfinder Village (such as firearms, weapons, intoxicating beverages, drug paraphernalia, or medically authorized drugs used improperly or unsafely). However, the consumption of alcohol on special occasions shall be permitted with the prior written permission of the President & CEO;
- Reporting to the workplace or working if their ability to perform their job is impaired by the use of alcohol, a controlled substance, an illegal substance, or prescribed medication. (Reference: PV Personnel Policy Substance Abuse)

Board Member Code of Ethics

As the Governing Body of Pathfinder Village the Board of Directors has responsibility for the care, management, and control of the Pathfinder Village and must be held to the highest of ethical and moral standards. The Board of Directors recognizes that established ethical standards of fairness, honesty and integrity are essential to the proper conduct of the Board of Directors in upholding its governance responsibilities. Due to this additional level of responsibility and accountability all Board Members are expected to:

- Serve as positive role models in the community.
- Listen carefully to other Board members, staff and individuals receiving services.
- Respect the opinion of fellow Board members.
- Respect and support the majority decisions of the Board.
- Recognize that all authority is vested in the full Board when it meets in legal session and not with individual Board members.
- Keep well informed of developments that are relevant to issues that may come before the Board.
- Participate actively in Board meetings and actions.
- Call to the attention of the Board any issues that may have an adverse affect on Pathfinder Village.
- Refer any complaints to the Board Chairperson and the President & CEO.
- Recognize that the Board member's job is to ensure that Pathfinder Village is well managed, not to manage the Pathfinder Village.
- Vote to hire the best possible person to manage Pathfinder Village.
- Represent all constituents of Pathfinder Village and not a particular geographic area or special interest group.
- Do their best to ensure that Pathfinder Village is well maintained, financially secure, growing and always operating in the best of interest of constituents.
- Always work to learn more about the Board member's job and how to do the job better.
- Declare any conflicts of interest between their personal life and their position on the Pathfinder Village board, and avoid voting on issues that appear to be a conflict of interest.

In addition, Board Members will not:

- Use Pathfinder Village or any part of the organization for personal advantage or the personal advantage of friends or relatives (other than for purposes of receiving services within the normal procedure of Pathfinder Village).
- Discuss confidential proceedings of the Board outside the Board meetings.
- Vote on any issue without fully understanding the issue.

- vote on any issue without fully understanding the issue.
- Interfere with the duties of the President & CEO or undermine the President & CEO's authority.

The Conflict of Interest and Ethics is reviewed and signed by Board Members upon their assignment to the Board and annually thereafter.

Standards & Expectations

In addition to the Pathfinder Village's Conflict of Interest and Ethics, Pathfinder Village has established written standards and expectation for all staff and managers. Pathfinder Village believes that these standards and expectations define the personal characteristics and qualities, which contribute to the fulfillment of its mission. They were developed with the understanding that each person has strengths and weaknesses, not all employees will have every identified characteristic and quality, but all will work toward the acquisition and mastery of them. These standards and expectations are separate into the following:

- Staff Standards and Expectation (**Attachment A**)
- Management Standards and Expectations (**Attachment B**)

The appropriate Standards and Expectations are reviewed and signed by all new staff during employee orientation.

Screening Applicants (Exclusionary Screening)

Objective: To comply with Federal and State mandates to screen employees, independent contractors, business vendors, key providers, and governing board members to verify that they have not been involved in adverse governmental actions related to fraud, patient abuse, licensing board sanctions, license revocation/suspension/surrender, or have defaulted on Health Education Assistance Loans.

Reference: Administrative Policy 1012 Corporate Compliance Overview and 1015 Conflict of Interest /Ethics Statement; Health Insurance Portability and Accountability Act (HIPPA) of 1996, Public Law 104-191; Medicare-Medicaid Anti-Fraud and Abuse Amendments of 1977, Public Law 95-142.

Policy Statement: Pathfinder Village and its related entities are committed to maintaining high quality service and integrity in its financial and business operations. Therefore, all necessary steps will be taken to insure that healthcare-related employees/consultants, providers, contractors, prescribing/authorizing physicians, etc., that provide and/or perform services for or on behalf of Pathfinder Village have not been the subject of adverse governmental actions and/or excluded from the federal healthcare programs.

General Information:

Definitions:

Exclusion Screening – an inspection process for minimizing risk in hiring individuals or contracting with business entities that have been involved in adverse governmental actions related to fraud, patient abuse, licensing board sanctions, license revocation/suspension/surrender, or who have been excluded from federal healthcare programs.

Policy:

Pathfinder Village will conduct monthly exclusion screening of all employees, contractors, and providers, and screening of governing Board members that have authority to grant appropriations or that contribute to the development or execution of policy as these actions relate to the use of Medicaid or Medicare funds. In addition, for employees that require specific medical/healthcare license/certification in order to perform their duties, these credentials will be verified with appropriate licensing and disciplining authorities.

Individuals and entities excluded from federal healthcare programs will be prohibited from holding a position, or conducting business with Pathfinder, in any area that is directly or indirectly funded by a state or federal program that bars participation by such excluded individuals and entities.

If an exclusion check indicates that a potential Board member has been excluded from federal or state healthcare programs, the individual must abstain from any vote on any measure before the Board that relates to programs or activities that are directly or indirectly funded by a state or federal program that bars participation by such excluded individuals.

If a determination is required regarding whether an activity is directly or indirectly funded by a State or federal program that bars participation by excluded individuals, the determination shall be made by the CFO, in consultation with the Corporate Compliance Officer, Chief Program Officer. If an employee or business seeks an appeal of that determination, that appeal shall be heard and decided by the Chief Executive Officer and reported to the Board of Directors.

Any disciplinary action for employees must follow the removal and other disciplinary action policies established by applicable law and provisions within personnel policies.

Compliance Practices:

- Pathfinder Village will conduct exclusion checks of the following sources to determine if the individual or entities name appears on any of the lists:
 1. OIG Office of Inspector General
 2. General Services Administration
 3. OMIG
- Pathfinder Village's Human Resource Department will ensure that exclusion checks are performed on candidates for employment at the point of offer of employment and for potential Board members that have authority to grant appropriations or that contribute to the development or execution of policy as these actions relate to the use of Medicaid or Medicare funds. Human Resources will maintain the results of all exclusion checks for employees and governing board members and will report this information to the Corporate Compliance Officer.
- Pathfinder Villages Chief Financial Officer who is responsible for processing contracts on behalf of Pathfinder will ensure that exclusion checks are conducted prior to entering into an agreement with contractors providing healthcare-related services. If the exclusion check indicates that a contractor has been excluded from federal or state healthcare programs, the contract will not be executed until a determination is made by the CFO as to whether the contract pertains to activities subject to the prohibition on participation by excluded entities. The CFO will ensure that all contracts entered into by pathfinder will contain a certification that the federal or state government does not exclude the contractor, its employees, or subcontractors. The CFO shall maintain the results of all exclusion checks and will report this information to the Corporate Compliance Officer.
- The CFO shall ensure that an exclusion check of all existing healthcare contractors is conducted monthly through to the end of the contract performance period. If the exclusion check indicates that a contractor has been excluded from federal or state healthcare programs, the contract will be terminated. The CFO shall maintain the results of all exclusion checks and will report this information to the Corporate Compliance Officer.
- Pathfinder Village departments working directly with physicians and healthcare practitioners will ensure that an initial exclusion check is conducted on each practitioner who prescribes or orders Medicaid or Medicare funded goods or services, and then monthly thereafter. If the exclusion check indicates that a practitioner has been excluded from federal or state healthcare programs, the services or goods will not be billed to Medicaid or Medicare. The results of all exclusion checks of physicians and healthcare practitioners and will be reported to the Corporate Compliance Officer.
- Pathfinder Village Corporate Compliance Officer to request listing monthly.

Compliance Officer & Compliance Committee

The Corporate Compliance Officer directs the Compliance Plan with the support of the Corporate Compliance Committee. The Corporate Compliance Officer reports directly to the President & CEO.

The Corporate Compliance Committee is comprised of Administrative Management Staff appointed by the Corporate Compliance Officer. The Corporate Compliance Committee will meet at least monthly to review the status of the Corporate Compliance Plan, present and discuss potential compliance concerns and issues, and recommend changes to the program and/or departments. The Corporate Compliance Committee will report to the Executive Committee of the Board at least quarterly. The Executive Committee of the Board Chair will report any significant information to Pathfinder Village Board of

Committee of the Board Chair will report any significant information to Pathfinder Village Board of Directors during regularly scheduled meetings. (**Attachment C**)

Outside Legal Counsel

Outside legal counsel is available to assist the President & CEO, Board of Directors Administrative Team, Compliance Officer and Corporate Compliance Committee as needed to identify and interpret federal and state laws and regulations in the Corporate Compliance Plan, assist in maintenance of the plan, and provide legal advice to Pathfinder Village with respect to any aspect of the Corporate Compliance Plan.

Outside legal counsel may be notified at the discretion of the President & CEO of incidents that have a reasonable cause to support the assertion of non-compliance, at which time the Compliance Officer will be responsible for facilitating an investigation. The results of the investigation will be used by legal counsel to provide legal advice to the Compliance Officer, Compliance Committee and Pathfinder Village, Inc.

Reporting Suspected or Known Violation (Whistleblower Policy)

Pathfinder Village is committed to operating in furtherance of its tax-exempt purposes and in compliance with all applicable laws, rules and regulations, including those concerning accounting and auditing, and prohibits fraudulent practices by any of its board members, officers, employees, or volunteers. This policy outlines a procedure for employees to report actions that an employee reasonably believes violates a law, or regulation or that constitutes fraudulent accounting or other practices. This policy applies to any matter which is related to Pathfinder Village business and does not relate to private acts of an individual not connected to the business of Pathfinder Village.

If an employee has a reasonable belief that an employee or Pathfinder Village has engaged in any action that violates any applicable law, or regulation, including those concerning accounting and auditing, or constitutes a fraudulent practice, the employee is expected to immediately report such information to the CEO. If the employee does not feel comfortable reporting the information to the CEO, he or she is expected to report the information to the Corporate Compliance Officer.

All reports will be followed up promptly, and an investigation conducted. In conducting its investigations, Pathfinder Village will strive to keep the identity of the complaining individual as confidential as possible, while conducting an adequate review and investigation.

Pathfinder Village will not retaliate against an employee in the terms and conditions of employment because that employee: (a) reports to a supervisor, to the CEO, the Board of Directors or to a federal, state, or local agency what the employee believes in good faith to be a violation of the law; or (b) participates in good faith in any resulting investigation or proceeding, or (c) exercises his or her rights under any state or federal law(s) or regulations(s) to pursue a claim or take legal action to protect the employee's rights.

Pathfinder Village may take disciplinary action (up to and including termination) against an employee who in management's assessment has engaged in retaliatory conduct in violation of this policy.

In addition, Pathfinder Village will not, with the intent to retaliate, take any action harmful to any employee who has provided to law enforcement personnel or a court, truthful information relating to the commission or possible commission by Pathfinder Village or any of its employees of a violation of any applicable law or regulation.

Supervisors will be trained on this policy and Pathfinder Village's prohibition against retaliation in accordance with this policy.

False Claims

It is the policy of Pathfinder Village, Inc. to require all staff members to report all known or suspected violations of the Federal False Claims Act ("FFCA"). A person who violates the FCA by knowingly submitting, or causing another to submit, false claims for payment of government funds. Examples of violations of a FCA are (i) submission of a claim to Medicare for payment for services not rendered, or (ii) falsification of a time and effort report in connection with a claim for reimbursement from government grant. It is also the policy of Pathfinder Village that persons reporting such suspected violations (sometimes referred to as "whistleblowers") will not be retaliated against for making such

violations (sometimes referred to as whistleblowers) will not be retaliated against for making such reports in good faith.

Investigation & Corrective Action

Any suspected violations will be directly investigated by or overseen by the Corporate Compliance Officer. All investigations will be treated confidentially to the extent consistent with corporate interests and legal obligations. Investigations into suspected violations will be documented and submitted to the President & CEO for review. If the results of an investigation indicate that corrective action is required, Pathfinder Village will decide the appropriate steps to take, including employee discipline, dismissal and possible legal proceedings. If appropriate, the investigation may be turned over to applicable outside authorities, and outside investigators may assist in the inquiry.

Response & Discipline for Violations

Each Pathfinder Village representative is responsible for conducting him or herself according to legal and ethical standards. No one has the authority to make another person violate the Pathfinder Village Corporate Compliance Plan, and any attempt to direct or otherwise influence someone else to commit a violation is a violation in itself. Representatives who violate provisions outlined in this plan could be subject to appropriate disciplinary action, up to and including termination. In addition, violations identified in the Pathfinder Village “Zero Tolerance Statement” (**Attachment D**) will result in immediate termination.

Pathfinder Village representatives who violate the Corporate Compliance Plan may also be subject to substantial criminal fines, prison terms and civil damages for violating laws and government regulations.

Compliance Training

All new Pathfinder Village employees will be introduced to the Corporate Compliance Plan during Employee Orientation. This introduction will include the nature and scope of the Corporate Compliance Plan, methods to report violations, and disciplinary measures for violating the plan. This orientation will be supplemented by specific regulatory training geared toward the employee’s responsibilities within the first three months of employment. Annually, at the beginning of the calendar year, all Pathfinder Village employees will receive a written correspondence summarizing the purpose of the Corporate Compliance Plan, the employee’s responsibility, and an updates of regulatory information needed to ensure that employees are current in their knowledge.

All other Pathfinder Village representative i.e. volunteers, consultants, committee members, and Board Member will be introduced to, and kept updated on any changes in the Corporate Compliance Plan through the Pathfinder Village Corporate Compliance Officer who will provide direct oversight to him or her.

Compliance Auditing

The Pathfinder Village Corporate Compliance Officer and Corporate Compliance Committee are responsible for ensuring that internal and external corporate compliance auditing takes place on a regular basis. Compliance related audits are conducted as a result of an investigation or as a proactive means of monitoring compliance in areas of actual or potential risk.

The Corporate Compliance Officer is primarily responsible for auditing the Corporate Compliance Plan.

This shall include periodic and regularly scheduled reviews of documentation, billing, claims processing and reimbursement procedures as well as practices that are mandated to ensure adherence to federal and state regulations. Additionally, Pathfinder Village, Inc. will utilize other Governmental and Regulatory Audits/Reviews as a method for obtaining feedback regarding compliance.

Audit findings and recommendations are reported to the President & CEO, the Corporate Compliance Committee, and the appropriate Pathfinder Village administrator. As needed or requested response plans will be completed by the operational management and incorporated into the final audit report.

Auditing processes in place are:

External Agency Testing, Reviews, and Audits:

- Annual and Recertification Surveys performed by OPWDD - *OPWDD DQI surveyors during unannounced visits review Pathfinder Village's entire operation and facilities programs on an annual basis for each of the four certifications. Recommendations and violations noted by surveyors are put into a "Plan of Corrective Action" which is submitted to OPWDD for approval.*
- Annual Homeland Security Office of Fire Prevention and Control Inspection – *Homeland security performs announced inspection of the IRA Homes on an annual basis. Report goes to OPWDD DQI. Formal report is generated from DQI to PV.*
- Annual Financial Statement Audit of Pathfinder Village, Inc., Pathfinder Village Foundation, performed by Bonadio CPA's - *Auditors review on an annual basis all financial statements involving any aspect of finance within the village. Reports are issued and recommendations put forth. Finance develops systems in conjunction with the auditors recommendations.*
- Five Year Financial Audit performed by OPWDD - *OPWDD reviews all financial records involving Pathfinder Village Inc. and individuals receiving services that live at PV. Recommendations and violations noted by the auditors are put into a "Plan of Corrective Action" which is submitted to OMRDD for approval.*
- Compliance Audits performed by NYS Office of Medicaid Inspector General - *Auditors will review the Corporate Compliance Plan to ensure our systems are regularly reviewed for conflict of interest, ethics, and fraud.*
- Annual Otsego County Code Enforcement Inspection of Public Buildings and School Facilities -*Inspector reviews all Public Buildings and School Facilities for Safety and Building Construction improprieties. Recommendations and violations noted by the inspector are put into a "Plan of Corrective Action" which is submitted to Otsego County Codes Enforcement for approval.*
- Monthly Testing by Certified National Analytic Labs of Village Public Water Systems - *Water samples are gathered by the Village Water Operator then taken by Microbac Labs are transmitted to the NYS Health Department Office in Oneonta. An annual water report is generated and distributed to all public areas in the village.*
- Annual Testing by Certified National Analytic Labs of Off Site Homes Water Systems – *Required testing performed*
- Monthly Testing by Certified National Analytic Labs and Annual Inspection and Testing by NYS Department of Health of Health Clinic Water System – *DOH review of Health Clinic Water System.*
- Semi-Annual NYS Department of Health Inspection of Food Preparation and Service - *Unannounced inspections by the NYS Health Department Inspector involve observing how food is prepared and served. Recommendations and violations are noted on a formal inspection form and signed by the food service staff in charge. Corrections are expected at the time of the inspection and followed up at the next inspection.*
- Semi-Annual NYS Department of Ag + Markets Inspection of Bakery - *Unannounced inspections by the NYS Ag and Markets Inspector involve observing how food is prepared and served. Recommendations and violations are noted on a formal inspection form and signed by the bakery staff in charge. Corrections are expected at the time of the inspection and followed up at the next inspection.*
- Annual NYS Department of Health Inspection of Village Inn - *Unannounced inspections of the Village Inn by an inspector from the NYS Office of General Services reviewing the safety and safety procedures of the Village Inn. Recommendations and violations are noted on a formal inspection form and signed by a bakery staff in charge. Corrections are expected at the time of the inspection and followed up at the next inspection.*
- Semi-Annual Utica Mutual Insurance Company Safety Review - *Announced reviews by a representative of Utica Mutual Insurance Company are performed to observe the safety of all Pathfinder Village buildings and grounds. Causes of employee injuries are reviewed as well. Recommendations are noted by the representative. A "Plan of Corrective Action" is established and sent to Utica Mutual for approval which are followed up at the next review.*
- Bi-Annual Inspection of Boiler Systems at PV – *Firm hired by Utica Mutual Insurance Company reviews all boiler systems at PV.*
- Bi-Annual Audit by NYS Education Department of School Program - *Announced audits by the NYS Education Department are performed to review the entire school program and the facilities*

These Education Department are performed to review the entire school program and the facilities utilized by school students. Recommendations and violations are noted by the auditor. A "Plan of Corrective Action is established and sent to SED for approval which are followed up at the next review.

- Quarterly and Annual Testing and Review by ABM Fire Equipment - *Announced reviews of all Fire Alarm Systems and Sprinkler Systems at PV by ABM Fire Equipment. Tests are performed, problems are corrected and reports generated on all fire alarm systems and Sprinkler Systems in all buildings at PV.*
- Semi-Annual Review and Testing of Fire Extinguishers and Suppression Systems by ABM Fire Equipment - *All fire extinguishers and fire suppression systems are inspected for proper operation. Expired extinguishers are replaced and repairs are made to problems discovered during the review.*
- As needed Reviews of Medication Administration by an independent entity - *Areas of need in correcting problems in Medication Administration are established using data provided on incident reports. Reviews are scheduled with Omnicare who address the specific needs as they arise.*
- Semi-Annual Review of Medications by Pharmacy Alternative's - *Review of medications for drug interactions that might be occurring of individuals med regimens.*
- Semi-Annual Safety Testing of Product Elevator in Meeting House - *An inspection of the product elevator in the Meeting House is scheduled on a semi-annual basis to identify any problems that would cause a safety issue. Problems are corrected at the time of inspection.*
- Quarterly Inspection for Insect Infiltration in Village Inn - *An inspection of the Inn for insect infiltration is performed to control insects in the Inn. A report is filed with the bakery staff.*

Internal Testing, Reviews, and Audits:

- Daily Reviews of Therap records by RTL's, QA, and Behavior - *Problems and issues are addressed with the staff responsible for corrective action.*
- Semi-Annual Medication Administration Med Pass evaluation for all Residential Staff performed by Nursing Staff - *All Residential Staff are evaluated semi-annually by Nursing staff to ensure that staff are passing meds appropriately. Med evals are documented by nursing. Any issues are corrected at the time of the eval or further training is instituted.*
- Fire Safety Drills as per the Monthly Fire Drill Schedule - *Fire Drills occur as per a monthly fire drill schedule. Drills are supervised by Chief Program Officer and Residential Team Leaders. Fire Drills are recorded on a NYS required Fire Drill Record Form and signed off by the staff participating in the drill, Supervising RTL or House Manager, and the Quality and Incident Management Coordinator. Records are on file in each house and the QA office in the Hood House.*
- Purchase Requisitions are reviewed and signed by administrative levels according to a set amount of the requisition as per Finance Policy - *Purchase requisitions follow a trail of approvals as per Finance Policy before a check is written. Depending on the amount of the requisition will depend on approvals needed from the Department Directors, Chief Finance Director and the CEO.*
- Checks and Cancelled Checks are reviewed and signed as per Finance Policy - *After Checks are written they are submitted to the CFO for checks \$500 and under and Sr Director of Quality Assurance for signatures over \$500. CEO will sign in the absence of the CFO or SDQA. Cancelled checks and bank statements are reviewed by the CFO as they arrive in the daily mail. Bank Statements then are submitted to the Bookkeeper. Reconciled statements are then reviewed by the CFO.*
- Resident personal spending monies are monitored, documented, and audited by House Managers on a monthly basis - *Residential House Managers or designated staff monitor, document and audit weekly Resident personal spending in each house. Monies are kept in a locked safe within each house and can be accessed by the House Manager or RTL.*
- Residential Habilitation and Day Habilitation is observed and monitored on a monthly basis by RTL's and Day Service Coordinators - *RTL's observe residential habilitation occurring in the houses during house visits with the individuals receiving services, Day Service Coordinators*

- observe day habilitation occurring in day programs daily.*
- Daily review of Incident Reports - *Incident Reports are reviewed on a daily basis by the Quality and Incident Management Coordinator and are addressed with the responsible Director. Reportable Incidents, Significant Incidents and Notable Occurrences are immediately addressed.*
- Maintenance Check Lists – *Performed by Maintenance Staff on a monthly basis*

Certification

Upon the first day of employment or at the onset of the relationship with the Pathfinder Village, the Pathfinder Village representative will receive a copy of the Pathfinder Village Conflict of Interest & Ethics Statement for review and signature. In addition, all Pathfinder Village employees will upon completion of the Corporate Compliance training, receive certification that the Pathfinder Village Corporate Compliance Plan has been reviewed with them.

Conclusion

The Corporate Compliance Plan has been prepared to outline the broad principles of legal and ethical business conduct embraced by Pathfinder Village, Inc. It is not a complete list of legal or ethical questions you might face in the course of business, and therefore this plan must be used together with your common sense and good judgment. In addition, for specific guidance in certain areas covered by this plan Pathfinder Village has adopted detailed policy and procedure manuals. If you are in doubt or have a specific question, you should contact your supervisor or the Pathfinder Village Corporate Compliance Officer.

Attachment A

Pathfinder Village, Inc. Code of Conduct Staff Standards and Expectations

Our Mission, Goals, and Values – Our mission is to provide care and oversight of individuals with developmental disabilities. Pathfinder Village is committed to manage and operate its programs using the highest business, ethical and moral principles. All staff members contribute to achieving these principals by conducting business activities for the Pathfinder Village with integrity and high ethical standards. Exercising good judgment and being a good example to one's peers and individuals receiving services assists in creating a positive workplace environment in which compliance and ethical business conduct are expected. All Pathfinder Village staff are expected to strive towards and comply with the following standards and expectations:

Ethical and Professional Conduct - Ethical and professional conduct is an essential element of a good employee. Ethical personal conduct means treating oneself and others with respect and fairness. By maintaining the highest level of corporate integrity through open, honest and fair dealings, we earn trust for our services and ourselves. Pathfinder Village expects all staff to act in a way that positively affects the reputation of the Pathfinder Village with employees, volunteers, and individuals receiving services and with the community at large.

A Community Services staff member:

- Maintains professional boundaries (Doesn't take resident behavior personally, maintains confidentiality of personal information and phone number, keeps personal life separate, sets boundaries on the first day of services, respects other's positions across the Pathfinder Village, values other's time and schedules.)
- Upholds integrity (is fair, truthful, and honest).
- Respects the people we serve (Doesn't talk in the presence of individuals receiving services as if they are not there, encourages self-advocacy before intervening.)
- Is respectful of co-workers (treats other with positive regard)
- Adheres to Pathfinder Village policies and procedures.
- Demonstrates support of the Pathfinder Village's philosophies and mission.
- Treats all people equally.
- Respectfully discusses confidential issues privately.
- Does not engage in gossip.

- Does not engage in gossip.
- Reports violations of this code of conduct and compliance concerns to the Corporate Compliance officer or the Corporate Compliance hotline (607) 422-7213.
- Is trained in Corporate Compliance and this Code of Conduct.
- Is screened from exclusion for participating in or providing services that are paid for by Medicaid.

Effectively Working With Others - Teamwork is a key component of effectively working with others and creating a positive workplace. All staff are expected to be willing to not just work alongside others, but to actively support the Pathfinder Village mission and positively find ways to fulfill that mission. Effectively working together means not thinking of yourself as having one narrow set of duties. It means actively pursuing ways of working together, it means listening to each other with a willingness to adjust how you do your job, and respecting the needs and opinions of others.

A Pathfinder Village staff member:

- Believes in teamwork (is a team player to ensure a resident is served, is a resource and a help to other staff; is willing at times to go beyond the job description when needed, recognizes we are all working towards a common goal).
- Communicates to all necessary parties to ensure best support for individuals receiving services; gets feedback to ensure understanding.
- Communicates clearly, consistently and in a timely manner.
- Positively resolves conflict through proper channels.
- Works to be a good problem solver (interjects ideas, provides opinions that are helpful; creates a positive solution).
- Openly recognizes other's achievements; acknowledges effort and accomplishments.

Job Responsibility & Accountability - Each staff member is responsible for knowing and executing the responsibilities of his or her job. Each individual is held accountable for the quality of the work he or she produces. Staff should inform their supervisor if they are having difficulties completing their job responsibilities, are in need of assistance, and/or are uncertain regarding what their job responsibilities entail.

A Pathfinder Village staff member:

- Within bounds, is flexible and finds a way to meet resident's needs (i.e. Doesn't give up just because it is "not a billable service", is willing to have a flexible schedule if possible).
- Recognizes their own limitations; asks for help when needed to avoid burnout.
- Works to address problems (actively problem solves; doesn't just leave things at "I didn't know what to do").
- Knows their job responsibilities and perseveres.
- Is a good role model and teacher for individuals receiving services and others.
- Is able to work independently, is reliable and self-initiating.
- Accepts change; views change as an opportunity (isn't resistant to new procedures).
- Recognizes resident behavior may be very difficult at times, and remains committed to service provision.
- Creates systems to ensure smooth staff transitions, providing as much stability as possible for the individuals receiving services.
- Prioritizes workload; is time efficient; seeks supervisory feedback when having difficulty with time management.
- Is a good planner; considers all possible outcomes, whether for work situations or resident behaviors.
- Recognizes our focus is on the needs of the people we serve (doesn't conduct personal business at work and actively provides service).
- Pursues knowledge of individualized information for each resident (diagnosis, behaviors, past trauma, etc.) to have more understanding and sensitivity and to provide better service.
- Avoids any kickbacks, bribes, rebates of any kind to induce purchases, reduction or limitation of services or referral of care, goods, services, items paid for by Medicaid.
- Has open communication to the Corporate Compliance Officer or the Corporate Compliance Hot Line without fear of retaliation or intimidation.

Personal Characteristics & Abilities - Being able to deal effectively with individuals or groups representing

widely divergent backgrounds, interests, and points of view and personal characteristics and abilities desirable to all staff. A good staff member is someone who is empathetic, genuine, open, and flexible. They respect their peers and individuals receiving services as persons and are sensitive to their individual differences (e.g., gender, race, and ethnicity). Staff should be able to identify their own strengths and limitations as a person, and be able to recognize how their approach may need to be adjusted when interacting with peers and individuals receiving services.

A Pathfinder Village Staff member:

- Is empathetic and caring for people served.
- Demonstrates patience with other, allowing them to grow and learn at their own pace.
- Is dedicated and wants to provide stability to individuals receiving services.
- Keeps a positive attitude even in difficult situations.
- Creates a positive atmosphere.
- Proactively seeks knowledge for tasks at hand.
- Models acceptance of diversity.

I understand that all Pathfinder Village staff are expected to comply with these Code of Conduct Standards and Expectations and agree that it is important for me to uphold these Standards for my own benefit and the benefit of all staff and the individuals at Pathfinder Village. I am, therefore, signing below to give my personal support to Pathfinder Villages' commitment to manage and operate its programs using the highest business, ethical and moral principles.

Signed: _____

Print Name: _____

Date: _____

Attachment B

Pathfinder Village, Inc.

Management Standards and Expectations

Pathfinder Village is committed to manage and operate its programs using the highest business, ethical and moral principles. Supervisors and managers contribute to achieving these principles by exercising good leadership and being a good example in creating and promoting a workplace environment in which compliance and ethical business conduct are expected. All Pathfinder Village managers are expected to comply with the following standards and expectations:

I. Ethical and Professional Conduct

Ethical and professional conduct is an essential element of a good management. Ethical personal conduct means treating oneself and other with respect and fairness. By maintaining the highest level of corporate integrity through open, honest and fair dealings, we earn trust for our services and ourselves. In addition, it is expected that managers will conduct themselves in a professional manner that reflects positively on Pathfinder Village's image and identity. No one should act in a way that adversely affects the reputation or image of the Pathfinder Village with employees, volunteers, and individuals receiving services or with the community at large.

- Be professional in dress, language and image (within and outside of the workplace).
- Actively role-model appropriate behaviors.
- Proactively address unethical or unprofessional conduct.
- Be respectful of yourself and others.
- Remain dedicated and loyal to the Pathfinder Village and the people we serve.
- Demonstrate support of the Pathfinder Village's philosophies and mission

- Uphold integrity (be fair, truthful, and honest).
- Be highly credible and trustworthy.
- Be willing to admit when they are wrong.

II. Supervisory Abilities

The ability to effectively employ a variety of supervision interventions, and deliberately choose from these interventions based on the employees learning needs, learning style, and personal characteristics are important supervisory characteristics of a good manager. Managers must be able to function effectively in the roles of teacher, counselor, and consultant, making informed choices about which role to employ at any given time with a particular employee. Managers must also be comfortable with the authority and evaluation functions inherent in the supervisor role, giving clear and frequent indications of their evaluation of the employee's performance.

A. General Supervisory Skills:

- Clearly set realistic expectations and rules.
- Give clear and concise directions.
- Hold people accountable for performance.
- Provide support to staff with actions, as well as words.
- Apply your expectations and standards equally to all staff.
- Adapt your supervisory style to how each individual best responds.
- Have a vested interest in helping your staff succeed.
- Be a team player (work side-by-side with staff).
- Hold yourself to the same standards you expect of others.
- Be available to your staff when they need you.
- Demonstrate leadership skills in all situations.
- Be aware of your staff's needs and trends.
- Be a good project manager; meet your own deadlines and expect staff to meet theirs.
- Be sure you have, or learn, good organizational and planning skills.

B. Communication Skills:

- Provide straight-forward communication; don't leave staff guessing.
- Provide full, honest and accurate reasons and responses.
- Actively listen to your staff.
- Actively inform staff of all on-going issues and changes.
- Respectfully discuss confidential issues privately.

C. Mentoring/Coaching Skills:

- Seize every opportunity to be a teacher.
- Formally and informally act as a mentor.
- Help your staff with their career aspirations.
- Encourage success.
- Recognize when an employee is struggling and provide guidance to overcome barriers.
- Show your interest in staff as people.
- Use strategies that are motivating and positive.
- Allow staff the opportunity to balance their personal needs with work responsibilities.
- Recognize and use all the talents and skills of your staff.
- Encourage staff to feel ownership of their job.
- Expect the best in others.

- Help staff solve problems for themselves rather than providing them with solutions.

D. Performance Feedback & Discipline Skills:

- Provide feedback for staff performance on a regular basis.
- Regularly recognize good performance.
- Positively address performance issues before discipline is needed.
- Be willing to discipline staff when it's truly needed.
- Directly address staff problem behaviors individually, don't avoid them by sending out general memos or directives

E. Problem Solving Skills:

- Be skillful at problem solving; learn to apply multiple strategies.
- Actively address problems/concerns, don't avoid issues.
- Be receptive to staff problems and solutions.
- Do thorough research about a problem, investigating it before reacting.
- Be willing to address staff conflicts.

III. Job Knowledge

Each employee is responsible for knowing and executing the responsibilities of his or her job. This means the individual is held accountable for the quality of the work he or she produces. In addition, managers are expected to ensure their employees have the necessary information, direction, and support to do their jobs.

- Be aware of day-to-day happenings.
- Be knowledgeable about your own job.
- Be knowledgeable about your staff's jobs.
- Be knowledgeable about other departments and programs.
- Be willing to research, learn about and find answers for areas you don't understand.

IV. Personal Characteristics

Managers are expected to deal effectively with individuals or groups representing widely divergent backgrounds, interests, and points of view. A good manager is someone who is empathetic, genuine, open, and flexible. They respect their employees as persons and as developing professionals, and are sensitive to individual differences (e.g., gender, race, and ethnicity) of the employee. Managers must have a clear sense of their own strengths and limitations as a supervisor, and be able to identify how their personal traits and interpersonal style may affect the conduct of supervision.

- Be resourceful; be open to suggestions and alternative methods of resolution.
- Be accepting and sensitive to individual differences.
- Act non-defensively; be level-headed and impartial.
- Know your own strengths and weaknesses and work to compensate deficits.
- Show a positive attitude; do not participate in damaging behaviors.
- Be a team player; work well with other departments, colleagues and peers.
- Always be approachable.
- Take responsibility for your own behavior (Don't be a finger-pointer).
- Make decisions independently and swiftly.

- Be invested in your job (Take your job seriously).

I understand the Standards and Expectation of all Management Staff and agree that it is important for me to uphold these Standards for my own benefit and the benefit of all staff at Pathfinder Village.

Signature _____

Date _____

Attachment C

CORPORATE COMPLIANCE COMMITTEE

I. Role and Responsibilities

The role of the Corporate Compliance Committee is to provide oversight for regulatory and legal compliance issues and ensure Pathfinder Village, Inc. meets or exceeds the highest standards of regulatory and legal accountability, as well as ethical activity by Pathfinder Village employees, volunteers, contractors, officers and directors. In addition, the Corporate Compliance Committee's role is to advise the Corporate Compliance Officer and assist in the implementation of the Corporate Compliance Plan. The committee's responsibilities include:

- Analyzing the Pathfinder Village's regulatory environment, the legal requirements with which it must comply and specific risk areas;
- Assessing existing policies and procedures that address these areas for possible incorporation into the compliance program;
- Working with appropriate departments to develop standards of conduct and policies and procedures that promote allegiance to the Pathfinder Village's compliance program;
- Recommending and monitoring, in conjunction with the relevant departments, the development of internal systems and controls to carry out the Pathfinder Village's standards, policies and procedures as part of its daily operations;
- Determining the appropriate strategy/approach to promote compliance with the program and detection of any potential violations, such as through the Corporate Compliance Hotline and other fraud reporting mechanisms;
- Developing a system to solicit, evaluate and respond to complaints and problems; and
- Monitoring internal and external audits and investigations for the purpose of identifying troublesome issues and deficient areas.
- Implementing corrective and preventive action.

II. Statement of Confidentiality

Due to the extremely sensitive nature of certain Corporate Compliance Committee activities, I.e. employee discipline recommendations, etc., each member of the Corporate Compliance Committee will be held to the highest standards of confidentiality. Each Corporate Compliance Committee member will be expected to adhere to all Pathfinder Village, Inc. Privacy Policies and Procedures. The information discussed at all Corporate Compliance Committee meetings will be considered confidential in nature. Pathfinder Villages Board Chairperson reserves the right to investigate any instance of potential breach of confidentiality and take appropriate remedial action up to and including recommendation for termination or in the case of a Board Member, removal from the committee and Board of Directors.

III. Structure

The Compliance Committee will include:

- Corporate Compliance Officer - Chairperson
- Quality and Incident Management Coordinator
- CEO
- CFO
- CPO

- CFO
- Sr. Director of Health Services

The corporate Compliance Board Chairperson at his or her discretion may attend the Corporate Compliance Committee and participate as a full voting member.

IV. Expectations

Each Corporate Compliance Committee member will be expected to:

- Review the meeting agenda and any/all associated documents in advance of the Corporate Compliance Committee meeting (Agenda to be prepared by the Compliance Officer and submitted in writing and/or electronically.)
- Attend regularly scheduled meetings and be prepared to discuss the agenda items based on their area of expertise.

V. Meeting Minutes & Frequency

Meetings will be held monthly. The Corporate Compliance Officer will notify committee members of the schedule at the beginning of the calendar year. In addition to regularly scheduled meeting Ad Hoc meetings may be necessary. The Corporate Compliance Officer is the only member of the Compliance Committee charged with calling an Ad Hoc meeting to address issues requiring immediate remediation.

Meeting minutes will be provided to each member of the committee in writing and/or electronically within one (1) week of the meeting. Any Corporate Compliance Committee Member wishing to make additions and/or changes to minutes must submit the requested additions and/or changes to the Corporate Compliance Officer in writing within one (1) week of receipt of the Corporate Compliance Committee meeting minutes. The Corporate Compliance Committee meeting minutes will be considered approved by all members as is if no requests for changes are received within one (1) week.

The Corporate Compliance Officer will submit written documentation of all Compliance Committee activities, recommendations, and an/all other work product produced by the Committee to the Corporate Compliance board Chairperson for review and/or approval as appropriate.

VI. Potential Compliance Committee Agenda Items

The following is a list of possible agenda items for discussion at Corporate Compliance Committee meetings:

1. Corporate Compliance Plan – review of the Corporate Compliance Plan.
2. Progress toward implementation/revision of any Policies and Procedures associated with Corporate Compliance Plan.
3. Review off any Compliance issues at hand.
4. Review of previously discussed remediation items.
5. Review of any new and/or revised Policies and Procedures for adoption and approval.
6. Review of on-going monitoring/internal audit activities.
7. Review of any and all new laws, issues guidelines, etc. which affect the on-going compliance of Pathfinder Village, Inc.
8. Development of the Compliance Action Plan for the following year, as appropriate based on any trends and/or identified areas of vulnerability.
9. Develop and maintain Quality Improvement Plan.

In the event that any one (1) Corporate Compliance Committee member must discuss a compliance issue which may involve another Corporate Compliance Committee member a request may be made requiring the individual to be removed from the meeting until a full discussion of the issue can be conducted after which time the removed Corporate Compliance Committee member will rejoin the meeting.

Attachment D

Zero Tolerance Statement

Pathfinder Village continues to vigorously strive for the highest standards at all times. We are committed to maintaining a pleasant work environment that is desirable and creates a rewarding experience for employees. It is the responsibility of ALL employees to maintain the highest standards of conduct for themselves. Every person has a responsibility to comply with and support our Zero Tolerance Statement and to behave in a manner that is respectable.

The intent of this policy is to set the expectation for those behaviors that Pathfinder Village has deemed as severe and unacceptable resulting in termination. When enforcing the zero tolerance standards the following should be considered: the intent of the offender, the effect of the transgression on other (both those directly and indirectly involved), and finally the impact on Pathfinder Village. The punishment should fit the “crime.”

“Zero Tolerance essentially means that no intentional behavior will be tolerated that is deliberately perpetrated with the purpose of harming others or Pathfinder Village, for personal gain or vengeance. Transgressions include but are not limited to: workplace violence, fraud, vandalism, theft of any kind, the use of any object as a weapon and/or conducting any type of illegal activity.”

Attachment E

Conflict of Interest

Purpose – The purpose of the conflict of interest policy is to protect this tax-exempt organization’s (Pathfinder Village) interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of Pathfinder Village or might result in a possible excess benefit transaction. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations

Definitions

Interested Person – Any director, principal officer, or member of a committee with governing board delegated powers, who has a direct or indirect financial interest, as defined below, is an interested person.

Financial Interest – A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:

- An ownership or investment in any entity with which Pathfinder Village has a transaction or arrangement,
- A compensation arrangement with Pathfinder Village or with any entity or individual with which Pathfinder Village has a transaction or arrangement, or
- A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which Pathfinder Village is negotiating a transaction or arrangement. Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.
- A financial interest is not necessarily a conflict of interest. Under Article III, Section 2, a person who has a Interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of Interest exclusion

Procedure

Duty to Disclose – In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement.

Determining Whether a Conflict of Interest Exists – After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest.

Procedures for Addressing the Conflict of Interest – An interested person may make a presentation at the governing board or committee meeting, but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.

- The chairperson of the governing board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternative to the proposed transaction or arrangement.
- After exercising due diligence, the governing board or committee shall determine whether Pathfinder Village can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
- If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the governing board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in Pathfinder Villages best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement

Violations of the Conflicts of Interest Policy –

- If the governing board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
- If, after hearing the member’s response and after making further investigation as warranted by the circumstances, the governing board r committee determines the member has failed to disclose and actual or possible conflict of interest, it shall take appropriate disciplinary or corrective action.

Records of Proceedings – The minutes of the governing board and all committees with board delegated powers shall contain:

- The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the governing boards or committee’s decision as to whether a conflict of interest in fact existed.
- The names of the persons who were present for discussions, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Compensation - A voting member of the governing board who receives compensation, directly or indirectly, from Pathfinder Village for services is precluded from voting on matters pertaining to that member’s compensation

- A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from Pathfinder Village for services is precluded from voting on matters pertaining to that member’s compensation.
- No voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from Pathfinder Village, wither individually or collectively, is prohibited from providing information to any committee regarding compensation.

Annual Statements – Each director, principal officer and member of a committee with governing board delegated powers shall annually sign a statement which affirms such person:

- Has received a copy of the conflicts of interest policy,
- Has read and understands the policy,
- Has agreed to comply with the policy, and
- Understands Pathfinder Village is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

Periodic Reviews – To ensure Pathfinder Village operates in a manner consistent with charitable purposes and does nto engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

- Whether compensation arrangements and benefits are reasonable, based on competent survey information, and the result of arm’s length bargaining.

- Whether partnerships, joint ventures, and arrangements with management organizations conform to Pathfinder Village's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement, impermissible private benefit or in an excess benefit transaction.

Use of Outside Experts – When conducting the periodic reviews as provided for in Article VII, Pathfinder Village may, but need not use outside advisors. If outside experts are used, their use shall not relieve the governing board of its responsibility for ensuring periodic reviews are conducted.